



ADMINISTRATIVE PROCEDURES
Manual of Policies and Procedures

Title

THE DEVELOPMENT AND DELIVERY OF PEN PRODUCTS

Legal References (includes but is not limited to)	Related Policies/Procedures (includes but is not limited to)	Other References (includes but is not limited to)
IC 11-8-2-5(a)(8) IC 11-10-6-1 <i>et seq.</i> IC 11-10-7-2 IC 11-10-7-5	00-00-101 02-03-107 01-04-101 04-01-104 02-01-105 04-01-301 02-01-106 02-03-106	ACA: Standards for Correctional Industries ACI: 4-4452, 4-4456 thru 4- 4461

I. DEFINITIONS:

- A. Director: The Director of the PEN Products Division of the Indiana Department of Correction.
- B. Joint Venture: An agreement between the Department and a private business/organization to provide offender employment in a department facility in accordance with all applicable statutes and rules and regulations.
- C. PEN Products: The Division of the Department of Correction responsible for the industries and farms operations, commissary management and those food services operations within designated department facilities.
- D. Product Advisory Council: The council provided by statute that is to assist the department in determining the need for products, the estimated volume or number of units required, pricing policies, and other matters relating to sales or promotion of such products manufactured in the department.

II. ESTABLISHMENT OF PEN PRODUCTS:

The Commissioner shall establish PEN Products as a division within the Department of Correction. The PEN Products Division shall be responsible to manage the industries and farms operations, commissary management and food services at designated facilities throughout the department.

A Director shall be appointed to oversee and manage the operation of the PEN Products Division. The Director shall report to the Deputy Commissioner of Administration.

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PEN Products shall be managed consistent with applicable federal and state laws and regulations and shall comply with all applicable administrative rules and regulations of state agencies that have authority and responsibility to monitor, audit and inspect the operations.

III. STATEMENT OF INTENT:

These administrative procedures present the manner in which PEN Products shall be established, managed and monitored for quality. The overall responsibility to manage PEN Products must be based upon the performance of the Director. The responsibility to promote the success of the operation however shall be shared among all departmental staff. This shared responsibility includes Facility Heads who shall collaborate with the Director to promote facility security and efficiency within the operations. These staff shall be responsible with the Director to inform and educate facility staff and offenders about opportunities within the operations consistent with these administrative procedures.

IV. BUSINESS OBJECTIVE OF PEN PRODUCTS:

The business objective of PEN Products is to obtain a return on investment so offender jobs can be established and maintained. These administrative procedures are not to be construed to imply that this business objective supercedes the mission of public safety of the department. PEN Products is to promote the public safety mission by providing work opportunities for offenders thereby keeping them constructively occupied and assisting them in their eventual transition to the community.

V. GENERAL PRINCIPLES OF OPERATION FOR PEN PRODUCTS:

PEN Products shall be managed in a manner that emulates private business and the working conditions of similar jobs managed in the private sector. To the greatest extent possible, the Director and the appropriate Facility Heads and administrative staff shall work collaboratively to approximate the working conditions as found in the community without jeopardizing security or public safety.

The workload for PEN Products shall determine the staffing complement of offenders and staff to ensure that each offender worker has a job assignment that promotes a strong work ethic. The relationship and communication between the Director and the Facility Heads in which a PEN Products operation is located must be based upon open communication, trust and a respect for each other's responsibilities and obligations. As a team, the Director and the appropriate Facility Head shall ensure compliance with all applicable laws, regulations and

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applicable department policies and procedures and ensure that all offenders are treated with respect and dignity.

VI. LINKAGES WITH VOCATIONAL AND EDUCATIONAL TRAINING:

In the first quarter of each calendar year, the Director shall discuss offender jobs and PEN Products operations with the department's Director of Education. The Director shall communicate the following information to the Director of Education:

- A. The individual operations managed by PEN Products by location;
- B. The number of offenders working at each location and operation;
- C. The job duties of those offenders;
- D. Anticipated new operations by facility in the coming year;
- E. The number of offenders expected to work at each of the new operations by facility; and,
- F. The job duties and job skills needed for any new or proposed operations by facility.

The Director of Education shall respond to the Director with a suggested plan that links the development of job skills with the anticipated operations and that identifies the maximum number of potential workers that can be trained for these operations. It is the responsibility of the Director of Education to ensure the suggested plan has been discussed and approved with appropriate administrative staff including the Deputy Commissioner of Program Services, the Chief Executive for Finance and Performance and the Deputy Commissioner of Adult Operations.

It is the responsibility of the Deputy Commissioner of Adult Operations and the Deputy Commissioner of Program Services to ensure the implementation of the plan, once approved. It is the responsibility of the Director to observe the implementation of the plan and to report to the Deputy Commissioner of Administration if the plan adversely impacts the operation of PEN Products or is not meeting the needs of PEN Products.

VII. RESPONSIBILITIES OF DEPUTY COMMISSIONERS, DIVISION DIRECTORS AND FACILITY HEADS TO ENHANCE THE MANAGEMENT OF PEN PRODUCTS:

It is the responsibility of the Facility Heads to promote the success of PEN Products. The Facility Heads shall:

- A. Purchase goods and services from PEN Products in accordance with applicable statutes and needs of the department;

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- B. Provide supportive services to the PEN Products field managers assigned to that facility as needed, for the operation of the work site;
- C. Promote a climate of mutual respect, common purpose and effective management of PEN Products among staff under their direct supervision;
- D. Include PEN Products field managers in administrative staff meetings at facilities in which work operations are located and maintain a direct reporting relationship with those field managers;
- E. Assist in minimizing interruptions to the operations at facilities in which a work site is managed;
- F. Ensure that all offenders receive information concerning PEN Products employment opportunities at the time of the offender's orientation at the facility;
- G. Ensure that all new employees receive information concerning PEN Products and its role and importance to the facility and the department; and,
- H. Provide a tour of PEN Products' operation(s) existing at that facility during a new employee's orientation, if tours of the entire facility are provided during this orientation.

Each Deputy Commissioner, Division Director and field supervisor shall adhere to the spirit of these requirements and assist to promote the work and success of PEN Products in any manner feasible.

VIII. RESPONSIBILITIES OF THE DIRECTOR OF PEN PRODUCTS:

The Director shall:

- A. Manage PEN Products with the intent to obtain a return on investment to provide for the establishment and maintenance of offender jobs;
- B. Develop, implement and maintain operational standards for the consistent and effective management of the operation department-wide;
- C. Work collaboratively with department administrative staff and the Facility Heads to establish and maintain offender jobs;
- D. Promote a climate of mutual respect, common purpose and effective management of PEN Products operations with other department staff;
- E. Share information with department staff that assists in the understanding of the business objective of PEN Products and the achievement of departmental objectives;
- F. Develop and publish a catalogue of products and prices;
- G. Manage costs through effective and accountable sharing of various duties and responsibilities to promote the success of PEN Products;
- H. Assist the Commissioner to convene and prepare for the Product Advisory Council as required by law;
- I. Publish an annual operating report;

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- J. Attract, engage and maintain joint business partnerships to the greatest extent possible;
- K. Manage the PEN Products' operation to achieve ACA accreditation;
- L. Develop and manage a system of Operational Standards that clearly define the roles and responsibility of PEN Products' staff;
- M. Manage the business to be self-sufficient without the use of general fund dollars, in the absence of circumstances beyond the control of PEN Products; and,
- N. Manage the offender commissary operation for the department and the food service operations as determined by the Commissioner.

In the discharge of these responsibilities the Director shall employ the number of staff necessary to manage the operation effectively, with the approval of the State Personnel Department and the State Budget Agency.

IX. PRODUCT ADVISORY COUNCIL:

A Product Advisory Council shall be established as provided by statute. At a minimum, the Product Advisory Council shall advise the department on items and services to be sold, marketing strategies and potential partnerships to be considered with private businesses.

The Product Advisory Council shall be composed of the following persons: the Commissioner, the Commissioner of the Department of Administration, the State Budget Director and the Director who shall serve as the secretary of the Council. Additionally, the Commissioner may appoint two (2) other persons to the Council who are major users of industry and farm products or who represent the general public.

The Director shall ensure that the Product Advisory Council is convened minimally once a year in accordance with the applicable statutes regarding its operation.

X. FINANCIAL MANAGEMENT OF PEN PRODUCTS:

PEN Products shall be managed in accordance with generally accepted accounting principles and shall be subject to audits from the State Board of Accounts.

XI. OPERATIONAL STANDARDS MANUAL:

The Director or designee shall be responsible for developing an Operational Standards Manual for PEN Products. This manual shall provide the necessary information for the operation of the various sections and shops operated by PEN Products.

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The Operational Standards Manual shall be considered Division Directives for PEN Products and shall be developed and maintained in accordance with these administrative procedures, as well as the administrative procedures for Policy 00-04-101, "The Development, Approval and Implementation of Policy."


The Director shall ensure that any operational standard(s) that will significantly change the operation of PEN Products at a facility or that will have a Department-wide impact is discussed with the Deputy Commissioner/Administration, Deputy Commissioner/Adult Operations, the impacted Facility Head(s) and any other appropriate staff prior to implementation of that operational standard.

The manual and any revisions of the manual shall be distributed under a cover memorandum from the Director and in a manner that ensures appropriate and timely delivery. All facilities that have PEN Products operations shall receive a copy of the manual. A copy of the manual shall be maintained in the Facility Head's office and in each PEN Products operation at the facility, as well as in any other locations designated by the Facility Head and/or the Director. The Facility Head shall ensure that copies of this manual are made available to all staff in the facility impacted by the PEN Products operations at the facility. Additionally, other appropriate staff, including the Deputy Commissioner/Administration, the Deputy Commissioner/Adult Operations, the Regional Directors of Adult Operations, the Director of Education and the Department Policy Manager, shall be provided with a copy of the manual.

The Operational Standards Manual and each operational standard shall be reviewed annually and appropriate revisions made. The Director shall implement a process to ensure that any appropriate staff is consulted regarding the development and review or revision of operational standards prior to their implementation.

XII. APPLICABILITY:

These administrative procedures are applicable to all department facilities and staff.


Evelyn I. Ridley-Turner
Commissioner

10/22/04
Date